



Frequently Asked Questions for ABCs

Revised: June 2, 2021

I. ABC Application Process

- **What is the mailing address to submit my completed ABC license application?**

Elizabeth A. Rolando
Chief Clerk
Illinois Commerce Commission
527 E. Capitol Ave.
Springfield, IL 62701

- **Are there any prerequisites to filing for an ABC license?**

Yes, the applicant must have already obtained a license to do business in the State of Illinois from the [Illinois Secretary of State](#) prior to applying with the Illinois Commerce Commission for an ABC license. It does not make a difference if the license from the Illinois Secretary of State is a “foreign” or “domestic” license.

- **Required number of copies to submit?**

Only the original application is required. You can file the application electronically through the ICC e-docket system, the web site is www.icc.illinois.gov/e-docket/. If you are interested in filing electronically and need assistance, please call 217-557-4224.

- **Is there an application fee?**

There is **no** application fee.

- **What is the law and what are the Commission’s rules?**

Section 16-115C can be found [here](#) and Code Part 454 can be found [here](#). Additionally, any companies serving residential and small commercial customers should be familiar with [Part 412](#) and [Part 453](#). The information on this page is provided only as a convenience to the reader and does not necessarily represent the full extent of Illinois Rules and Regulations that are relevant to ABCs.

- **Does an ABC license pertain to electric and natural gas service?**

No. An ABC license is not inclusive of natural gas. Pursuant to [83 Ill Adm. Code 454.20](#), an ABC is defined as “agents, brokers, and consultants that are engaged in the procurement or sale of retail electricity supply for third parties”.

- **How do I file the license or permit bond?**

The original or a copy of the license or permit bond is filed with the application.

- **What is the process for requesting confidential treatment of information in the application or attachments to the application?**

The applicant must file a motion for confidential treatment pursuant to [Section 200.430 Protective Orders](#) of the Commission's Rules of Practice. The applicant must explain rationale for confidential treatment and properly mark the documents that the applicant is seeking to have treated as confidential. A public redacted version (with shaded areas showing the space that held removed information) of each document submitted pursuant to Section 200.430 must also be submitted with the proprietary version. For example, if the confidential information is in the application submit a public and confidential version of the application; if the confidential information is in an exhibit, submit a public and confidential version of that exhibit.

- **How long does the license application process take?**

A Docket Number will be assigned after the applicant has made its filing with the Commission. The Commission has 90 days to issue an order granting or denying an application. The Administrative Law Judge may extend that to 180 days.

- **Can an applicant check the status of their case?**

Yes, you can check the status of your application by entering the ICC docket number in the e-Docket system located at <https://www.icc.illinois.gov/docket/search.aspx>. If you do not know your docket number, you can click "Log into e-Docket" and perform a Full-Text Search with the name on the ABC license application which should pull up the docketed proceeding for the ABC license.

- **Can the ABC license process be expedited?**

No. However, ensuring you submit a complete application can aid in expediting the process. Staff recommends all applicants thoroughly review [83 Ill. Adm Code 454](#), Public Utilities Act ([220 ILCS 5/16-115C\(b\)](#)), this ABC FAQ document, and the instruction pages located on the ABC Application to ensure you are correctly filling out the application. If you have further questions on properly completing the application after reviewing the documents, please send questions to Sophia Markowska at Sophia.markowska@Illinois.gov.

- **What information should be included in paragraph 1 (of the application) for Applicant's name and street address?**

The applicant should include its name, street number information, city, state, zip code, and country if located outside of the United States.

- **What information should be provided if the applicant's legal name is different than the name the applicant plans to do business as in Illinois?**

It should be explained in the ABC license application the fact that the company's legal name is different than the name it plans to do business as.

- **Does the applicant need to identify the type of customers it intends to serve?**

No.

- **Can an ABC choose to relinquish its ABC license?**

Yes, an Agent, Broker, or Consultant can choose to relinquish its ABC licensure by submitting an application to Abandon Certificate of Service Authority as an Agent, Broker, or Consultant (Section 16-115C).

- **Can an existing ABC license be transferred to another entity?**

No. Any change to an entity, such as a purchase or acquisition, requires the new entity to obtain a business license through the Illinois Secretary of State and apply for a new ABC license. Even if the new entity plans to operate under the old corporate name, a petition for a new ABC license must be submitted. Additionally, the new entity must petition the Commission to withdraw the old ABC license which can be included within the petition for a new ABC license.

- **Must an applicant for an ABC license meet the Managerial, Technical and Financial requirements contained in Part 454 regardless of the type of service they plan to offer?**

Yes, in order to obtain an ABC license from the ICC, an applicant must meet all Managerial, Technical and Financial Requirements per Part 454.

- **If an application is approved, is there a place to view information regarding the specific ABC?**

Yes, when an application is approved an entity profile is created. The entity profile provides a link to the docket number associated with the application, discloses the activity status of the ABC, lists the Public Utility Agents, and contains a record of all the ABC's filings received by the ICC. To view your entity profile, visit the ICC's [Entity Search](#) and type in the ABC's name.

- **How does an applicant file an amended application or an errata?**

To file an amended application or an errata, the applicant must file with the Chief Clerk's Office either by mail or through E-docket. The applicant must include a cover letter and a notarized verification page when filing the amended application or errata. Additionally, the applicant must serve a copy of the filing to all parties in the case and include proof of service when filing with the Chief Clerk's Office.

For more information please see the Commission's Rules of Practice ([83 Ill. Adm. Code Part 200](#)).

- **Whom should applicants contact with additional questions regarding the ABC licensing process?**

- General Questions:
 - Sophia Markowska
Office of Retail Market Development
312-814-2869
sophia.markowska@illinois.gov

II. ABC Recertification Process

- **Is each licensed ABC required to file a recertification report with the ICC each year?**

Yes.

- **When is the ABC Recertification Report due?**
March 31st of each year.
- **What time frame should be covered in the ABC Recertification Report?**
The previous calendar year. For example, the report due March 31, 2021 should cover the time period of January 1, 2020 – December 31, 2020.
- **Are ABCs that receive their license near the end of the reporting period such as November or December still required to file the ABC Recertification Report?**
Yes.
- **Is there a report format that should be followed?**
Yes, there is an ABC Annual Report Form posted at <https://www.icc.illinois.gov/authority/agents-brokers-and-consultants>.
- **Are there filing fees for Recertification Reports?**
No.
- **Will this annual report recertify my ABC license for the next year?**
Yes, so long as the report is complete.
- **What are the consequences of failing to file the ABC Recertification Report?**
The Commission will take formal action that may result in the revocation of your ABC license.
- **What is the ICC Docket # for current certification asked for on the ABC Report Form?**
It is the ICC Docket # from the original ABC license application proceeding.
- **What is the process to request confidential treatment of an annual report?**
A public redacted version of the verified report may be submitted to the Commission along with a proprietary version. If submitting a public redacted version of the report, the public redacted version must be separate from the proprietary version and must be under separate seal. Separate seal means separate signature pages. If both a public redacted and a proprietary version of the report are submitted, the report will automatically be granted confidential treatment. The public redacted version may redact from the verified report the name or names of every certified electricity supplier contained in the report to protect against disclosure of competitively sensitive market share information. The information shall be afforded proprietary treatment for two years after the date of the filing of the verified report.
- **What bond information should be provided to meet the financial requirements of the report? Is bond information required even if the bond is still in effect and/or not up for renewal yet?**
A copy of the current bond, even if it has previously been provided to the ICC, a renewal certificate or a receipt showing the bond has been renewed.

- **What information should be included for the number of non-residential and residential customers for which the licensee either sold or procured on behalf of the customer?**

Only provide a customer count, no customer names or addresses. For ABCs also operating in other states, only include the count of customers in Illinois.

- **Is there a place to reflect a change in company address or contact information?**

Yes, changes to the company address, phone number, email address and other contact information can be provided in f) Sections 454.60 Managerial Licensing Requirements and 454.70 Technical Licensing Requirements.

- **Can an ABC check to see if the Annual Recertification Report were received?**

Yes. Type in the ABC name on the ICC's [Entity Search website tool](#) and click the search button. Click "View Profile." Once the profile appears, click "Compliance Filings" to view all compliance filings and confirm the Chief Clerk's Office receipt of the annual report.

- **Are there any additional reporting requirements to be aware of?**

Yes, a list of reporting requirements can be found at the bottom of this website:
<https://www.icc.illinois.gov/authority/agents-brokers-and-consultants>.

III. Other ABC Matters

- **How does an ABC update official corporate officer and/or corporate contact information located on the ICC's website in the ABC's Entity Profile? *To find the Entity Profile, use the ICC's [Entity Search](#).***

Written notification should be mailed to the Chief Clerk's Office:

- Chief Clerk
Illinois Commerce Commission
527 E. Capitol Ave.
Springfield, IL 62701